Department of Defense
INSTRUCTION

May 13, 1997

NUMBER 3200.14

USD (A&T)

SUBJECT: Principles and Operational Parameters of the DoD Scientific and Technical Information Program

References: (a) DoD Directive 3200.12, "DoD Scientific and Technical Information Program," February 15, 1983
(b) DoD Instruction 5200.21, "Dissemination of DoD Technical Information," September 27, 1979 (hereby canceled)
(c) DoD 3200.12-R-1, "Research and Technology Work Unit Information System," August 1983 (hereby canceled)
(d) DoD 3200.12-R-2, "Centers for Analysis of Scientific and Technical Information Regulation," January 1985 (hereby canceled)
(e) through (z), see enclosure 1

A. PURPOSE

This Instruction:

1. Implements policy, assigns responsibilities, and prescribes procedures under reference (a) to carry out the DoD Scientific and Technical Information Program (STIP).

2. Replaces references (b) through (d).

3. Delineates in enclosures 3 through 7, the major elements of the DoD STIP including the specific implementation of policy, responsibilities, principles, and operational parameters for each segment of that program as applicable.

4. Authorizes, consistent with reference (e), the issuance of the DoD Scientific and Technical Information Program Procedures Manual for the inclusion of those procedures, practices, standards, and training guides necessary to implement a comprehensive, efficient, and effective DoD STIP.

5. The implementation of policy and responsibilities for the DoD Domestic Technology Transfer Program are described in DoD 3200.12-R-4, and the implementation of policy and responsibilities for the DoD Independent Research and Development Program are described in DoD Instruction 3204.1 (references (f) and (g)).

B. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as "the DoD Components").

C. DEFINITIONS

Terms used in this Instruction are defined in enclosure 2.

D. POLICY

It is DoD policy under DoD Directive 3200.12 (reference (a)) to establish and maintain a coordinated and comprehensive program to document the results and outcome of DoD-sponsored and/or performed research and engineering (R&E) and studies efforts and provide access to those efforts in an effective manner consistent with the DoD mission. Additionally, the conduct of DoD research and engineering (R&E) and studies efforts shall be supported by the STIP through the acquisition, analysis, storage, retrieval, and dissemination of scientific and technical information (STI) and related program management information.

E. RESPONSIBILITIES

1. The Under Secretary of Defense for Acquisition and Technology shall conduct management and oversight of the STIP, as described in reference (a), and as further defined in this Instruction.

2. The Director, Defense Research and Engineering, under the Under Secretary of Defense for Acquisition and Technology, as the Principal Staff Assistant for the STIP, shall:

a. Exercise operational control and oversight of the Defense Technical Information Center (DTIC) consistent with the mission and functions described in enclosure 7.

b. Ensure the issuance of the DoD Scientific and Technical Information Program Procedures Manual under DoD 5025.1-M (reference (e)). Approve the general contents and assign responsibilities for preparation and issuance of specific Volumes of the DoD Scientific and Technical Information Program Procedures Manual under reference (e).

c. Ensure that DTIC shall assist in implementing STIP policy and administration. The DTIC shall perform technical information support services for the Office of the Under Secretary

of Defense for Acquisition and Technology (OUSD(A&T)), the OSD Principal Staff Assistants, and operate DoD-wide STI systems. The DTIC shall act as a central coordinating point for DoD STI databases and systems, and investigate and demonstrate new supporting technology for those applications.

3. OSD Principal Staff Assistants shall have oversight and guidance responsibility for their respective areas consistent with the policy established in DoD Directive 3200.12 (reference (a)), and consistent with the implementation of policy, responsibilities, principles, and operational parameters as described in this Instruction.

4. Heads of the DoD Components shall:

a. Designate a single headquarters point of contact for all matters involving the STIP and identify the responsible individual to the Office of the Director, Defense Research and Engineering (ODDR&E).

b. Conduct management and oversight of the STIP in their respective organizations including definition of subordinate organization responsibilities consistent with the functional responsibilities defined in reference (a).

c. Ensure the exercise of functional responsibilities delineated in enclosures 3 through 6 that are necessary to implement the policies and principles of the STIP.

d. Ensure the effective implementation of this Instruction including the issuance of applicable DoD Component implementing documents when essential to define explicit internal organizational responsibilities or to further define internal principles, concepts of operation, and practices where applicable.

e. Prepare, coordinate, and issue specified Volumes of the DoD Scientific and Technical Information Program Procedures Manual in accordance with DoD 5025.1-M (reference (e)) as assigned by the DDR&E in accordance with paragraph E.2.b., above.

f. Maintain a current review and inventory of STI functions and activities under their administrative control.

g. Encourage the use and sponsorship of technical symposia and meetings and of participation in the symposia and meetings by DoD scientists, engineers, and managers as an effective mechanism for STI transfer and exchange. DoD participation shall be consistent with implementation of policies in DoD Instruction 5230.27 and the security policies in DoD 5200.1-R (references (h) and (i)).

h. Execute domestic technology transfer programs and projects under OUSD(A&T) guidelines and assign single points of contact to coordinate their technology transfer programs in accordance with DoD 3200.12-R-4 (reference (f)).

i. Ensure that all significant scientific or technological observations, findings, recommendations, and results derived from DoD endeavors, including those generated under contracts, grants, and other instruments that are pertinent to the DoD mission or contribute to the DoD and/or the national scientific or technological base are recorded as "technical documents." Internal and contractual procedures shall ensure that copies of such documents are made available to the DoD R&E community, including supporting technical libraries, the DTIC, and applicable DoD Information Analysis Centers (IACs), and, under established security and other limitation controls, and consistent with DoD Directive 5230.9 (reference (j)), to the civilian scientific and technical community. Such documentation shall be prepared and distributed quickly and according to established standards for document format, distribution, security marking, and reproducibility consistent with DoD policy and STIP procedural guidance.

j. Operate and support activities for the input of data to centralized DoD databases including full text, bibliographic, summary, and other forms of R&E program-related information, and be responsible for the accuracy and currency of database content and reporting, in accordance with data element standards, authorities, and input procedures established by the DoD Component responsible for operation of the database.

k. Consistent with the distribution constraints marked on DoD technical information, in accordance with DoD Directive 5230.24 and the security limitations as prescribed in DoD 5200.1-R (references (k) and (i)), promote programs to ensure maximum exchange of STI in the defense community. Pursue a policy to ensure that STI, created by activities under DoD control, is provided for public use through appropriate Federal Agencies, according to approved DoD clearance procedures prescribed by DoD Directive 5230.9 (reference (j)). To promote this exchange, each DoD Component shall provide technical documents and other information relevant to R&E programs in an unclassified manner to the maximum extent possible.

F. PROCEDURES

1. The STIP is operated as a coordinated structure of generally decentralized activities with overall policy direction and oversight vested in the OUSD(A&T) in coordination with or participation of the OSD Principal Staff Assistants, or designees.

2. The DoD STIP consists of many elements that facilitate and contribute to the acquisition, production, reproduction, and dissemination of intellectual property that result from or are of interest to the Defense R&E community. Additionally, selected STIP functions are also capable of and shall provide support on and as needed basis to the management of selected Defense acquisi-tion programs and the DoD studies program. Enclosures 3 through 7 of this Instruction describe the implementation of policies, principles, practices, and operational parameters of one or sev-eral similar functional concepts and further delineate the STIP as described in DoD Directive 3200.12 (reference (a)). State-ments of purpose, scope, and functional responsibility that are most relevant to a specified element of the STIP are included in enclosures 3 through 7 of this Instruction.

3. The DTIC shall provide centralized operation of specific STIP functions, such as technical document access and dissemina-tion and database and reference services; serve as a focus for actions required to provide and enhance DoD-wide STI services; and provide direct information system and database support to the OUSD(A&T) and the OSD Principal Staff Assistants in coordinating the overall STIP.

4. Maximum use shall be made of existing organizations en-gaged in collecting, processing, and disseminating STI such as DoD IACs, the DTIC, or other specialized STI centers designated by the OSD. STIP functions performed by those activities shall be coordinated to produce a coherent program providing maximum data and resource sharing and effective service to all valid us-ers of DoD STI services.

5. A principal objective of the STIP is to improve both the scope and effectiveness of collecting, processing, disseminating, and applying STI. The STIP shall apply the latest available technologies and provide for maximum participation and compati-bility among the information programs of disparate DoD Compo-nents, other Federal Agencies, and the private sector. In the collection of STI, standard data elements should be used in ac-cordance with DoD 8320.1-M-1 (reference (l)).

6. Effective coordination and liaison are necessary among the STIP and those information programs involving technical in-telligence, information security management, foreign disclosure activities, intellectual property counsel, technical data manage-ment, manpower, logistics, and acquisition systems to ensure max-imum compatibility, interchange of information, and avoid unnec-essary duplication of effort.

7. The overriding priority of the STIP is to ensure timely and effective exchange among DoD R&E and studies performers and managers of all STI generated by or needed in the conduct of DoD R&E programs. Because of the characteristics of defense programs, the publication and reporting of such information frequently requires security safeguards or specific limitations on access or distribution. Requests for records under the "Freedom of Information Act," 5 U.S.C. 552, shall be processed in accordance with DoD Directive 5400.7 (references (m) and (n)). For example, transfer of classified or proprietary information (with the consent of the source) would not be effective without safeguards to inhibit improper disclosure. Such protection is an acceptable cost for being able to transfer or share the information freely among certified federal and civilian R&E communities. Additionally, STIP processes shall support and incorporate DoD policy to prevent the unrestricted export of militarily critical technology.

8. The Department of Defense makes a significant investment in its technology base. Activities such as DTIC, the IACs, DoD databases, and technical libraries function as repositories, custodians, and secondary distribution activities in order to maximize the return on investment in R&E and studies through their retention of STI. As such, applicable plans and resources shall be made available by the affected DoD activities to preserve essential STI when such actions as organizational realignments, consolidations, program cancellations; etc., have the impact of eliminating in whole or in part the STI holdings of such activities.

9. Every effort shall be made, under the limits of national security requirements, to prepare technical documents and other types of defense STI in an unclassified form and, in accordance with established clearance procedures, to provide such information for public use through appropriate Federal agencies. Such use of unclassified STI or of unclassified versions of defense STI shall expedite information transfer both in the Department of Defense and to the national scientific and technical community.

10. All policies and procedures governing the dissemination to the public of information in the STIP shall be subject to the approval of the Assistant to the Secretary of Defense for Public Affairs under authority of DoD Directives 5230.9 and 5122.5 (references (j) and (o)).

11. One or more STI functions are needed by and shall be used by the DoD Components to implement the policies and procedures of the DoD STIP. Those STIP functions involve recording and transferring STI from its generator or source to the ultimate

user or beneficiary of new knowledge. Those STI functions embrace a broad spectrum of activity from generation, publication, distribution, and storage, to access, assimilation, and use of STI and documents. STI functions include, but are not limited to the following:

a. The preparation, reproduction, and distribution of STI and documents.

b. The provision of document services, including acquisition, archival functions, repositories, announcements, and various means of document dissemination, access, or transmission.

c. The operation of technical information centers, data centers, IACs, technical libraries, and other similar information activities that collect, store, process, and provide associated document, data, or information services in direct support to information seekers or that act as intermediaries between the user and other STI functions.

d. The implementation and operation of database services, including numeric, bibliographic, full-text, and management information databases, database processes and products, and the application of electronic and telecommunications techniques for data entry, storage, access, search, and retrieval.

e. The provision of information and decision-support systems and services for use in management of R&E programs.

f. The operation of directory or reference services to identify and locate available STI and R&E capabilities and resources.

g. The conduct and support of technical meetings and symposia.

h. The provision of information exchange programs to facilitate transfer of technological innovation and know-how from DoD R&E programs to civilian purposes.

i. The operation of programs to effect exchange of DoD technical planning, requirements, and acquisition information with industrial or other organizations capable of engaging in DoD programs.

j. The study of and experimentation with new methods and techniques in handling STI and promoting the communication of new ideas or knowledge among scientists and engineers.

k. Security aspects of information management to include systematic review, maintenance and notification, and changing distribution statements, classification markings; etc., up to and including public release.

l. The development and implementation of mechanisms and techniques to foster the awareness and use of STI resources, products, and services.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective immediately. Forward one copy of implementing documents, to the Director, Scientific and Technical Information Policy, DTIC within 120 days.

Under Secretary of Defense for Acquisition
and Technology

Enclosures - 7

1. References
2. Definitions
3. Summarization of Proposed and Ongoing DoD R&E and Studies Efforts
4. Documentation and Distribution of DoD R&E and Studies Efforts
5. DoD IACs
6. Access to and Dissemination of DoD Technical Information
7. DTIC

REFERENCES, continued

(e) DoD 5025.1-M, "DoD Directives System Procedures," August 1994, authorized by DoD Directive 5025.1," DoD Directives System," June 24, 1994
(f) DoD 3200.12-R-4, "Domestic Technology Transfer Program Regulation," December 1988, authorized by DoD Directive 3200.12,
(g) DoD Instruction 3204.1, "Independent Research and Development," December 1, 1983
(h) DoD Instruction 5230.27, "Presentation of DoD-Related Scientific and Technical Papers at Meetings," October 6, 1987
(i) DoD 5200.1-R, "Department of Defense Information Security Program Regulation," January 17, 1997, authorized by DoD Directive 5200.1, December 13, 1996
(j) DoD Directive 5230.9, "Clearance of DoD Information for Public Release," April 9, 1996
(k) DoD Directive 5230.24, "Distribution Statements on Technical Documents," March 18, 1987
(l) DoD 8320.1-M-1, "Data Element Standardization Procedures," January 1993, authorized by DoD Directive 8320.1, September 26, 1991
(m) Section 552 of title 5, United States Code
(n) DoD Directive 5400.7, "DoD Freedom of Information Act Program," May 13, 1988
(o) DoD Directive 5122.5 "Assistant Secretary of Defense for Public Affairs (ASD(PA))", March 29, 1996
(p) Section 3710a, Paragraph (d)(1), of title 15, United States Code
(q) DoD Directive 5230.25, "Withholding Unclassified Technical Data from Public Disclosure," November 6, 1984
(r) DoD Directive 4205.2, "Acquiring and Managing Contracted Advisory and Assistance Services (CAAS)," February 10, 1992
(s) DoD 5200.28-M, "ADP Security Manual," January 1973, authorized by DoD Directive 5200.28, May 21, 1988
(t) CSS-STD-003-85, "Computer Security Requirements-Guidance for Applying the Department of Defense Trusted Computer System Evaluation Criteria in Specific Environments," June 25, 1985[1]
(u) American National Standards Institute (ANSI) Standard Z39.18-1995, "American National Standards for Information Sciences-Scientific and Technical Reports-Elements, Organization, and Design," March 21, 1995[2]
(v) DoD 5220.22-R, "Industrial Security Regulation," December 1985, authorized by DoD Directive 5220.22, December 8, 1980
(w) DoD Directive 2002.3, "Clearance of Research and Studies with Foreign Affairs Implications," August 15, 1985
(x) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," June 16, 1992

(y) DoD Directive 8910.1, “Management and Control of Information Requirements,” June 11, 1993
(z) OMB Bulletin No. 95-01, “Establishment of Government Information Locator Service,” December 7, 1994

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[1] Available from Superintendent of Documents, U.S. Government Printing Office, P.O. Box 371954, Pittsburg, PA 15250-7954
[2] Available from American National Standards Institute, ATTN: Customer Service, 11 West 42nd Street, New York, NY 10036

DEFINITIONS

1. Analysis. A qualitative or quantitative information evaluation requiring technical knowledge and judgment.

2. Contractor. An individual or organization outside the U.S. Government, including both prime contractors and subcontractors, who has accepted any type of agreement or order to provide research, supplies, or services to a U.S. Government Agency.

3. Controlling DoD Office. The DoD activity that sponsored the work that generated the technical document for the Department of Defense and has the responsibility for determining the distribution of a document with such technical information. For joint sponsorship, the controlling office is determined by advance agreement and may be either a party, group, or committee representing the interested activities or the DoD Components. (See DoD Directive 5230.24 (reference (k)).

4. Cooperative Research and Development Agreement (CRDA). As defined in 15 U.S.C., Section 3710a(d)(1) (reference (p)) the term CRDA is: "Any agreement between one or more Federal laboratories and one or more non-Federal parties under which the Government, through its laboratories, provides personnel, services, facilities, equipment, or other resources with or without reimbursement (but not funds to non-Federal parties) and the non-Federal parties provide funds, personnel, services, facilities, equipment, or other resources toward the conduct of specified research or development efforts that are consistent with missions of the laboratory; except that such term does not include a procurement contract or cooperative agreement as those terms are used in 31 U.S.C. 6303-6305 and as such the Federal Acquisition Regulation (FAR) and the DoD FAR Supplement are not applicable to these agreements."

5. Defense Community. As the Department of Defense conducts its mission of U.S. national security it needs to share information, coordinate, and engage in a dialogue with others outside the Department of Defense. This includes people in other Federal Agencies, contractors, educational organizations, technical societies, State and local governments, and foreign governments. As used in this Instruction, this collective body of people including DoD personnel constitute the Defense community.

6. Database. A set of records collected and organized in a meaningful manner to serve a particular purpose.

7. Defense Industry Information. Technical planning, requirements, and acquisition information provided to industry through various programs to enable industry to meet defense weapons and

support systems needs. Those programs include DoD Information Analysis Centers (IACs), DTIC, potential contractor programs of the DoD Components, DoD Component Information for Industry Offices, advance planning briefings for industry, technical meetings on special topics, and similar activities initiated by the DoD Components.

8. Defense Information. Information about the mission of the Department of Defense and DoD Component organizations.

9. Distribution Statement. A statement assigned by the controlling DoD office and used in marking a technical document to denote the extent of its availability for distribution, release, and disclosure without additional approvals or authorizations from the controlling DoD office. A distribution statement marking, as described in DoD Directive 5230.24 is distinct from and additional to a security classification marking assigned, in accordance with DoD 5200.1-R, and an export warning notice assigned, in accordance with DoD Directive 5230.25 (references (k), (i), and (q)).

10. Legitimate Business Relationship. For this Instruction, a legitimate business relationship exists when the Department of Defense has determined that a need exists to acquire, share, exchange, or disseminate DoD technical information to anyone other than a DoD Government employee for supporting the DoD mission. That relationship may be established by any agreeable means such as a memorandum of understanding, agreement, contract, grant, etc. The Department of Defense has the sole responsibility for determining that a legitimate business relationship exists since the only purpose is to provide access to information created by or under the control of the Department of Defense. Such a relationship may be established with an individual or organization in another Federal Department or Agency; contractors, grantees, potential DoD contractors; etc., other branches of the Federal Government; State and local governments; and foreign countries.

11. OSD Principal Staff Assistants (PSAs). The Under Secretaries of Defense, the Director of Defense Research and Engineering, the Assistant Secretaries of Defense, the Director of Operational Test and Evaluation, the General Counsel of the Department of Defense, the Inspector General of the Department of Defense, the Assistants to the Secretary of Defense, and the OSD Directors or equivalents who report to the Secretary or Deputy Secretary of Defense.

12. Potential DoD Contractor. An individual or organization outside the Department of Defense approved and certified by a sponsoring DoD activity as “eligible for DoD technical infor-

mation services under a DoD Component potential contractor program."
The sponsoring DoD activity should be reasonably ensured that this individual or organization may benefit by their access to Defense technical information in their understanding of and for responding to a DoD acquisition.

13. Primary Distribution. The initial targeted distribution of or access to technical documents authorized by the controlling DoD office.

14. Qualified U.S. Contractor. In accordance with DoD Directive 5230.25 (reference (q)), a private individual or enterprise located in the United States whose eligibility to obtain unclassified export-controlled technical data has been established through certification procedures on the DD Form 2345.

15. Scientific and Technical Documents. Documented result of DoD-sponsored or defense-related R&E efforts. The work may have been performed either in-house or externally by contractors, subcontractors, grantees or by other similar business relationships. Scientific and technical documents include, but are not limited to, final and interim technical reports, technical notes, technical memoranda, technical papers, special reports, conference proceedings, journal articles, test reports, project officer reports, and other formats regardless of media.

16. Scientific and Technical Information (STI). Communicable knowledge or information resulting from or about the conduct and management of scientific and engineering efforts. STI is used by administrators, managers, scientists, and engineers engaged in scientific and technological efforts and is the basic intellectual resource for and result of such efforts. STI may be represented in many forms and media. That includes paper, electronic data, audio, photographs, video, drawings, numeric data, textual documents; etc.

17. Secondary Distribution. Distribution of or access to a document, usually based on a request to a document repository or information center, provided subsequent to an initial distribution performed or controlled by the authoring or sponsoring DoD Component.

18. Technical Data. Recorded information related to experimental, developmental, or engineering works that can be used to define an engineering or manufacturing process or to design, procure, produce, support, maintain, operate, repair, or overhaul material. The data may be graphic or pictorial delineations in media, such as drawings or photographs, text in specifications or related performance or design type documents, or computer print-

outs. Examples of technical data include research and engineering data, engineering drawings, and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog-item identifications, and related information and computer software documentation.

19. Technical Document. Any recorded information that conveys STI or technical data regardless of media. For the STIP, that includes such information documents as working papers, memoranda, and preliminary reports when such documents have utility beyond the immediate mission requirement, or shall become part of the historical record of technical achievements.

20. Technical Information Dissemination Activity. Any activity, such as DTIC, which operates to assist individuals and organizations in the Department of Defense to effect adequate and timely dissemination of technical information describing planned or ongoing R&E, studies, and analysis efforts and documented results of such efforts and to provide systems and services to assist eligible users to identify, access, acquire, and use DoD technical information.

21. Technical Library. An activity that acquires, organizes, houses, retrieves, and disseminates information and information materials; and performs reference and research in direct support of a host activity's R&E mission. It also may provide all or any one of such services as analysis, current awareness, literature searching, translations, and referral. A technical library may also be called a "technical information center."

22. Technical Report. Any preliminary, interim, or final technical document prepared to record, document, or share results obtained from, or recommendations made on, or relating to, DoD-sponsored or cosponsored scientific, technical, studies, or analytical work.

23. Technical Symposia and Meetings. Formally scheduled assemblies for the presentation and discussion of topics about R&E programs.

24. U.S. DoD Contractor. Those U.S. contractors currently holding grants or contracts with Department of Defense, or those contractors declared eligible for DoD information services by a sponsoring DoD activity on the basis of participation in a DoD Potential Contractor Program.

SUMMARIZATION OF ONGOING DoD R&E AND STUDIES EFFORTS

A. PURPOSE

1. The DoD plans for and invests significant resources (manpower, facilities, and dollars; etc.) in research, development, test, and evaluation (RDT&E), and other similar types of scientific and engineering efforts. Significant resources are also invested in the DoD Studies Program. The Department of Defense shall establish and operate a centralized reporting system that collects in summary form adequate information that describes those efforts. Thereby, the Defense community may search for and be aware of specific technical- and management-related work efforts and before initiating new or significantly changed efforts and before the commitment of resources.

2. The Technical Effort and Management System (TEAMS)(formerly known as the DoD Work Unit Information System) shall provide an information storage and retrieval database in which to record specified information about a wide variety of Defense-related R&E and studies efforts including the purpose, objective, approach, scope, and duration of all planned and ongoing efforts performed by or sponsored in whole or in part by the Department of Defense.

3. The system shall provide for improved awareness and documentation of scientific and engineering efforts from diverse components of the R&E spectrum ranging from contractor-performed R&E tasks to RDT&E efforts performed in-house and from initial research, through the various stages of RDT&E, and eventually to operational systems development. Additionally, R&E efforts to correct, improve, or enhance operational systems shall be included.

4. The system is intended to increase the effectiveness of the DoD R&E and studies programs by the following:

a. Helping planners and managers identify potentially duplicate efforts during the planning stages of proposed R&E and studies efforts.

b. Permitting managers to coordinate programs with other personnel in the DoD Components and other Agencies of the Federal Government to eliminate unnecessary duplication of effort.

c. Helping individual managers, scientists, engineers, and analysts to determine current and past efforts related to their own work.

d. Enabling managers, scientists, engineers, and analysts to identify others working in areas of mutual interest.

e. Promoting current awareness by managers, scientists, engineers, and analysts of ongoing efforts through periodic reviews of pertinent TEAMS records.

f. Enhancing the efficiency and cost effectiveness of the DoD contractor community by providing knowledge of on-going DoD work to better focus on national defense and military requirements.

5. The system shall provide a mechanism for recording and providing awareness of a variety of technical and management efforts or analyses. That includes the ability to aggregate similar efforts such that system output can be compiled to reflect the scope, degree, extent; etc., for a particular technical or program area.

6. The TEAMS is not intended to be used as a resource management system at either the individual project level or through the means of aggregating like projects.

B. SCOPE

1. The TEAMS database is an information storage and retrieval system established by the OUSD(A&T). TEAMS provides methods to document and support rapid exchange of technical and management data. Those data describe a variety of ongoing DoD R&E and studies work-in-progress programs and efforts.

2. The TEAMS database includes, but is not limited to, data files or logical subsets of data that describe DoD R&E technical or management information programs and DoD studies efforts, as follows:

a. RDT&E efforts.

b. Other R&E efforts that include the conduct of science or engineering activities and are characterized by similar outcomes to the RDT&E process. That includes efforts to correct, improve, assess, or enhance operational systems. It also includes activities that are characteristics of RDT&E, but are funded by non-traditional RDT&E program areas such as health sciences, mapping, and communications.

c. Contracted Advisory and Assistance Services summaries, in accordance with DoD Directive 4205.2 (reference (r)).

d. In-house management analyses and studies descriptions.

e. Small Business Innovation Research Program descriptions.

f. CRDAs as defined in enclosure 2 and other forms of agreement that support the DoD Domestic Technology Transfer Program as described in DoD 3200.12-R-4 (reference (f)).

g. Other similar scientific, technical, or studies-related programs or data files as approved by the ODDR&E and as approved by the other OSD Principal Staff Assistants in support of program areas under their purview.

(The requirement to provide input to TEAMS is characterized by the nature of the work not by the nature of the business transaction. Therefore, the need to report the efforts described in paragraphs B.2.a. through g., above, are required whether the work is mission funded, work for others, a procurement contract, a grant, a co-operative agreement, a CRDA, or any other type of business transaction.)

3. The operation of and support for the TEAMS are necessary and integral parts of the management, conduct, and cost of DoD R&E and studies programs.

4. All separately distinct R&E and studies efforts shall be summarized and provided as input to the TEAMS including the following:

a. Efforts performed by DoD R&E, studies, and/or analysis activities in whole or in part.

b. Efforts performed by another Federal activity in support of a DoD activity.

c. Efforts performed by a contractor, whether the contract is awarded by the Department of Defense or by another Federal Agency, in support of the Department of Defense when funded in whole or in part from an appropriation utilized for R&E or studies purposes.

Such efforts should be reported to TEAMS when they are started and when significantly modified such as changes in scope, objective, funding level, duration; etc.

5. As defined in subsections B.1. through 4., above, the TEAMS supports a wide breadth of DoD programs. It is intended to support those programs by providing a brief description of ef-

forts reported to TEAMS along with information about what organizations sponsored and/or are doing the work. Dollar and/or man-hour data are intended to give a general indication of the magnitude of the effort but are purposely not intended to be used as a resource management or financial accounting system. The TEAMS shall be designed in such a manner as to reflect this intent.

6. DoD Components Database Enhancement

a. Individual DoD Components may, in coordination with the DTIC and with approval of the ODDR&E, extend the data files maintained at DTIC with Component-unique elements as needed to enhance the management or exchange of information about their programs. DoD Components are required to report at least the basic data required for the TEAMS by applicable DoD procedures developed by DTIC.

b. Access to Component-unique data shall be, as specified, by the contributing DoD Component or the DoD Component Headquarters.

c. The DTIC shall make reasonable efforts to provide timely support to such requirements to minimize the development of similarly redundant systems.

C. RESPONSIBILITIES

1. The Office of the Director, Defense Research and Engineering shall:

a. Approve the use of TEAMS to support additional programs areas not specified in subsection B.2., above.

b. Approve the addition of DoD Component-unique data to the TEAMS.

2. The Heads of the DoD Components shall:

a. Establish input and use requirements as an integral part of their R&E and studies functions.

b. Designate a “single authoritative focal point for the TEAMS” to actively represent all aspects of the DoD Component's support to the TEAMS database. If required to meet internal needs, the DoD Components may designate a focal point for each program area supported by TEAMS, as specified in subsection B.2., above, for internal policy, coordination and dissemination. Changes to each of the approved programs included in the TEAMS, as specified in subsection B.2., above, shall be coordinated by

the DoD Component focal point to ensure consistency and completeness of data, in accordance with system constraints.

c. Provide for the establishment of focal points at intermediate command levels and at the activity level as required to implement the policies and principles of that element of the STIP.

d. Devise and provide management procedures to ensure input and use requirements are adhered to including the completeness, quality, accuracy, and timeliness of input, and effective use of the various files of TEAMS data as an integral part of managing the efficient use of R&E and studies resources. That includes the use of applicable recurring oversight coverage (audits, inspections, and management assistance reviews) necessary to ensure that all activities utilizing funds for R&E and studies purposes comply with requirements for input to and use of the applicable TEAMS data in the management of the various programs.

e. Ensure that program managers and project officers perform a comprehensive search of the TEAMS, Technical Report, and Independent Research and Development Databases maintained by DTIC during the planning stages of and before initiating any new or significantly changed R&E or studies effort. Ensure that documentation of the search and findings reveal that the proposed effort does not unnecessarily duplicate other previous or current efforts and is part of the justification package submitted for approval of the new effort. That search and determination shall be retained in the local activity project approval files for at least 3 years or until the effort is completed, whichever is greater, to meet program audit and inspection requirements.

3. The Administrator, DTIC, shall do the following:

a. Develop, maintain, and operate the TEAMS database, in accordance with the concepts stated in this enclosure in support of the coordinated and approved requirements of the DoD Components to include the following:

(1) Preparation of, coordination with the DoD Components, and issuance as a Volume of DoD Scientific and Technical Information Program Procedures Manual, consistent with DoD 5025.1-M (reference (e)), uniform procedures, codes, data elements, and formats for submitting records to, searching, and obtaining records from the TEAMS database. The data elements and codes should comply with DoD 8320.1-M-1 (reference (l)).

(2) Providing output and retrieval services from the TEAMS to eligible users.

(3) Providing and operating an interactive, on-line system for database input, access, and retrieval.

(4) Providing for a system responsive to the processing goals and objectives established by ODDR&E.

(5) Providing to each of the DoD Components and activity focal points, a quarterly report (or more frequently as needed), which summarizes quantity and quality of input from that Component's activities.

b. Ensure that all applicable security requirements are addressed, in accordance with DoD 5200.28-M and provisions for input, access, and retrieval are in accordance with the computer security requirements of CSC-STD-003-85 (references (s) and (t)).

4. Reporting Activity responsibility for submitting TEAMS records is determined on the following basis:

a. For in-house efforts, responsibility rests with the DoD activity that performs the work. In most cases, the principal investigator is responsible for the preparation of the input.

b. For contracts, grants, or transfers of funds to non-DoD agencies, the DoD activity that serves as the direct technical monitor, regardless of the actual source of funds, is responsible for timely and complete input. In most cases, the Contracting Officer’s Technical Representative (COTR) is the individual responsible for the preparation of the summary. For example, when the Office of Naval Research (ONR) receives a Defense Advanced Research Project Agency (DARPA) order and procures research by direct citation of DARPA funds, ONR shall prepare a TEAMS record on the effort if ONR serves as the technical monitor for the contract or grant. If DARPA serves as the technical monitor, then DARPA shall prepare the input.

c. The input requirements for that system are designed to primarily meet the internal needs of the Department of Defense. Therefore, it shall always be the responsibility of a DoD activity (not a contractor/grantee nor a non-DoD Government activity) to submit the required input to the TEAMS database. While it is recognized that DoD activities often task performing organizations to prepare the TEAMS input record, the responsibility to submit remains with the DoD activity and that method of accomplishment shall not be the basis for delay of input.

D. PRINCIPLES OF OPERATION

1. A fundamental purpose of the TEAMS is the timely collection of descriptions of DoD R&E and studies efforts in a database available for dissemination to all authorized users. TEAMS input shall include all separately identifiable efforts at least to the same detail that the efforts are tracked in local financial management and program administration processes.

a. A TEAMS Record is a set of data elements prescribed for reporting to one of the TEAMS data files including the scope and approximate levels of funding of a particular effort, whether performed in-house and/or by contractual means. The record describes specific tasks in the scope of a particular effort as established for local control by the responsible DoD manager. It describes each task that is technologically distinct from other tasks. Each effort has a specific objective, duration, and product. That was formerly defined as a "work unit" in DoD 3200.12-R-1 (reference (c)), canceled by this Instruction.

b. A subordinate TEAMS record is a specifically described data record in the TEAMS database that describes a technologically distinct effort that is actually a component of or subordinate to an already established TEAMS record; i.e., a distinct, supporting contractual effort, a component of a large grant or contract, or, where applicable, a subordinate in-house effort.

2. What To Report. TEAMS records shall be established and input prepared for the following categories of activities:

a. All separately identifiable efforts being accomplished by in-house DoD R&E, studies, and analysis activities regard-less of funding appropriation (including work for others). Those efforts include experiments, product development, interagency studies Congressionally mandated studies; etc., except as excluded in subsection D.3., below.

b. All separately identifiable efforts being accomplished in-house by DoD activities when the funding is from the R&E, studies, and analytical aspects of the Defense acquisition pro-gram (Budget Program 6), except those excluded in subsection D.3., below.

c. All R&E efforts performed outside the Department of Defense or jointly by the Department of Defense and others by means of a grant, a procurement contract, a CRDA, a cooperative agreement, or a fund transfer to a non-DoD Agency funded wholly or partially from the R&E, studies, and analytical aspects of the Defense acquisition program (Budget Program 6) appropriation or from another DoD appropriation account used to support the con-

duct of RDT&E, except those excluded in subsection D.3., below. Each uniquely-numbered contract, grant, CRDA, cooperative agreement or fund-transfer shall constitute a separate record.

d. All other efforts within the scope of subsection B.2., above.

e. The TEAMS is designed to allow reporting of data at different levels of detail. For example, because of the requirement to report each unique contractual effort as a separate record, even when the contractual effort is actually a supporting portion of a larger, usually in-house, effort, the identification of the larger effort must also be input to TEAMS. That permits users of TEAMS to be aware of a group of efforts that are being managed with a common technical goal or objective. It is not necessary to report large omnibus contracts that support, for example, an entire weapon system effort as the “goal.” Those contracts normally have a number of tasks that fund administrative, fabrication, and other types of activities that are not provided as TEAMS input. Similarly, on some large contracts or grants; etc., which has several technologically distinct subefforts, the system shall be capable of identifying and differentiating among the "main record" or overall effort and any subefforts that are reported. In those instances, a subordinate record shall be used to describe a distinct subeffort (whether in-house or contractual) that supports, or is a component of, a larger, broad effort or project that is separately documented.

f. Data that are TOP SECRET or that deal with RDT&E in Electronic Intelligence, Communications Intelligence, and Communications Security shall be sent to the National Security Agency, ATTN: 5512CI, Fort George G. Meade, MD 20755 instead of sending the data to DTIC.

3. What Not To Report

a. Purchase of equipment, components, or devices where R&E effort is not involved or, laboratory or test equipment purchased for continuous use separate from and not an integral part of a specific R&E effort.

b. Routine data collection, data taking, data analysis, and data reduction services.

c. Equipment/facility maintenance or field services, fabrication or construction, installation, calibration, and/or modification of equipment or components.

d. Technical services such as programming or computational support, library, or translation services. The use of

such support activities in the conduct of a research activity shall not be construed as the basis for not reporting the effort.

e. Other efforts that do not involve scientific, technological, or analytical activity.

4. When To Report

a. The appropriate data elements on a TEAMS record shall be reported to the DTIC in 20 working days after the local action it reflects has occurred. That includes the following:

(1) Description of the effort when funds and/or personnel are allocated to a specific technical effort managed by a DoD R&E activity or a significant change to, completion of, or termination of such an effort.

(2) Description of the effort when a contract, grant, CRDA, cooperative agreement, fund transfer or work for others effort is awarded or initiated and/or a change or supplement to these efforts affects the description of work, identity of a principal investigator, or other significant changes occur. Initial input of a record shall be submitted at the time of initiation of procurement or other action for a contractual effort, or when funds are transferred to a non-DoD Government Agency to perform RDT&E.

b. When a justification package is prepared as part of an established approval process for a new effort, a new TEAMS record should be included in the documentation and released as input to DTIC when the effort is approved.

5. How To Report

a. Input to the TEAMS, operated at DTIC, shall be provided either electronically or in a machine-readable format (such as magnetic tape or diskettes). The method shall be determined by the DoD R&E activity focal point in coordination with DTIC.

b. Detailed instructions for data and transmission formats and descriptions of data elements are to be described in DoD Scientific and Technical Information Program Procedures Manual. Component-unique subsets of the TEAMS database or specific data elements added to any TEAMS files for use by a particular DoD Component shall be input, maintained, and controlled as mutually agreed between DTIC and the originating Component(s)).

c. Component-unique subsets of the TEAMS database or specific data elements added to any TEAMS files for use by a particular DoD Component shall be input, maintained, and controlled

as mutually agreed between DTIC and the originating Component(s).

d. Report Control Symbol DD-R&E(AR)636 has been assigned to the TEAMS. DD Form 1498, "Research and Technology Work Unit Summary" is assigned for input to the TEAMS.

6. Marking, Access, and Release

a. All records in the database are to be applicably marked with the following:

(1) A DoD Distribution Statement in accordance with DoD Directive 5230.24 (reference (k)).

(2) A security classification marking when required, in accordance with DoD 5200.1-R (reference (i)).

(3) An export warning notice when required for export control, in accordance with DoD Directive 5230.25 (reference (q)).

b. Subject to security restrictions and specific release limitations, as identified by the originator, TEAMS data are releasable to the DoD Components, the DoD contractors, the other U.S. Government Agencies, and their contractors. In all cases, the requestor must currently be registered with the Department of Defense, in accordance with enclosure 6, below.

(An important objective of the DoD STIP is to improve the efficiency and effectiveness of the overall DoD R&E Program by sharing information about prior and ongoing DoD-supported work among the DoD in-house R&E community and the DoD contractor community. Therefore, TEAMS records shall normally be prepared to allow access and use by DoD contractors and grantees. When specific records or data elements reveal planned expenditures or levels of planned obligations, those records or data elements shall be withheld from contractor or grantee users. Budgetary planning data used to program funds for potential procurement actions that are competitively price sensitive are not releasable to contractor and/or grantee users until contract award by the appropriate Government activity. Once the work effort is on-going, or the funds for the effort are obligated, the access limitations based on competition sensitivity shall be withdrawn. With the majority of DoD work efforts being performed by contractors and grantees it is essential and in the best interest of the DoD to maximize their access to that type of data.)

DOCUMENTATION AND DISSEMINATION OF DoD R&E AND STUDIES EFFORTS

A. PURPOSE

1. An inherent characteristic of the DoD R&E and studies programs is the documentation and dissemination of the results and outcomes of efforts conducted by or for the Department of Defense. Such documentation and dissemination are considered to be an integral part of such efforts, and those efforts are not considered complete until documentation and dissemination are completed.

2. R&E and studies efforts shall be documented and disseminated expeditiously. That is intended to contribute to performance of similar efforts by others in the DoD community.

B. SCOPE

1. R&E and studies efforts shall be documented whether or not the conduct of the efforts result in a successful outcome. Description of all efforts provides others in the Department of Defense with a technology base that promotes a logical basis for the investment in and conduct of future efforts.

2. The requirements of this enclosure apply to all of the DoD Components.

C. RESPONSIBILITIES. The DoD Components shall ensure that all R&E and studies efforts are documented and disseminated when performed by or sponsored in whole or in part by activities under their control.

D. IMPLEMENTATION OF POLICY, PRINCIPLES, AND CONCEPTS

1. DoD R&E and studies efforts performed by or sponsored in whole or in part by DoD activities shall be documented sufficiently to permit others to comprehend the purpose, scope, approach, results or outcomes, and conclusions or recommendations from the conduct of such activities.

2. Wide and timely dissemination of all documented efforts promote a greater awareness of the technology base and serves in part to promote the awareness of the expertise and capabilities of performing personnel and the organizations.

3. Such efforts may be documented in any media or form including paper or electronic copy, and shall include text, graphics, and audio, but shall be prepared in a logical form and in

sufficient detail to promote maximum understanding of the efforts by those intended to receive primary distribution of the documented efforts.

4. Documented efforts regardless of media or form shall be prepared, to the maximum extent practical, in accordance with ANSI Standard Z39.18-1995 (reference (u)), which is adopted for DoD use. Additionally, an SF 298, Report Documentation Page, is established for that purpose and shall be prepared for each documented effort.

5. It is recognized that many R&E and studies efforts have the potential, when documented, to include unclassified but sensitive, or classified information. DoD activities have the responsibility to ensure that all documents are marked, in accordance with DoD Directive 5230.24 and DoD 5200.1-R (references (k) and (i)). Documents that are not restricted should be cleared for public release, in accordance with DoD Directive 5230.9 (reference (j)), and marked with "Distribution Statement A" as required by reference (k). While DoD contractors prepare and disseminate a significant amount of DoD R&E and studies efforts, the DoD activity that sponsored the work shall ensure all documented efforts regardless of media or form are marked in accordance with DoD Directives 5230.9 and 5230.24, and DoD 5200.1-R (references (j), (k), and (i)).

6. In order to protect DoD interests in the inventions that result from DoD R&E efforts, DoD activities are encouraged to pursue the patenting and licensing of those inventions. Additionally, DoD activities shall pursue a coordinated effort to acquire Government rights to intellectual property developed in whole or in part at Government expense so that such intellectual property may be utilized in current and future DoD programs.

7. To the maximum extent possible, documented efforts shall be prepared in unclassified and otherwise unrestricted form in accordance with DoD Directive 3200.12 (reference (a)). When not possible, then DoD activities shall attempt to prepare restricted versions of such efforts and/or unclassified, unrestricted bibliographic citations and abstracts of such efforts. That is intended to promote a broad awareness of the existence of such documents in the Department of Defense and the national scientific and technical community. Subsequent requests for such documents shall be processed, in accordance with established clearance procedures.

8. The preparation and dissemination of technical documents often involve a number of different disciplines. Personnel responsible for printing, editing, public affairs, data management, security, intellectual property counsel, contracting; etc.,

often have a role in the preparation and dissemination of documents. The local STIP manager shall help coordination of necessary practices and procedures with the personnel, above, so that the people responsible for the preparation and dissemination of documents may do so expeditiously.

9. Primary distribution of all documents, regardless of form, shall be the responsibility of the DoD activity that performed or sponsored the work in whole or in part. Primary distribution shall be to the technical community having a direct and immediate interest in the outcome of the R&E or studies efforts. The DTIC, applicable DoD IACs, and the local DoD technical library or repository that supports the activity responsible for sponsoring and creating the documents shall be recipients of the primary distribution at the same time. The preparation and dissemination of R&E and studies efforts in the form of journal articles, poster papers at a symposia, and other means external to DoD shall not be in lieu of providing those same documents to the DTIC, appropriate DoD IACs, and the local technical library.

10. The posting of documented efforts on an electronic bulletin board, homepage, the Internet or some other internal or external network does not constitute in and of itself primary distribution of documented R&E and studies efforts. The methods of electronic dissemination are by their very nature transient and relatively short lived.

Primary distribution must be explicitly directed to the intended recipients. The activity responsible for primary distribution of documents by electronic means must take positive steps to ensure that receiving activities are capable of receiving the data by that means and in an intelligible form. This includes individuals that are the intended recipients of the document and secondary dissemination activities including technical libraries, DTIC, and appropriate DoD IAC’s. Providing electronic documents that are configured by computer hardware or software that are not readily available to the recipients precludes the use of such technical information. If the recipients cannot readily read, interpret, or convert the electronic document, then the activity shall provide the document in some other media.

11. DoD activities shall exercise reasonable diligence in the preparation of technical documents in final form. Retention of technical documents as working drafts, coordination copies; etc., shall not be utilized as a method to avoid preparation and distribution of documents in final form. Additionally, a verbal presentation at the conclusion of an R&E effort may be given but not instead of the documentation of an R&E effort. A verbal presentation often enhances understanding of the R&E or study performed. At the same time the documentation of the efforts per-

mits a more permanent record and wider dissemination of the work and allows the Department of Defense to leverage the resources invested in the effort to the larger Defense community for a longer period of time. As an example the dissemination of papers presented at a conference and/or conference proceedings to others in DoD who are unable to attend the conference, and to the DTIC, appropriate DoD IACs, and the local technical library broadens the awareness and retains the documented knowledge of what was presented for future use.

12. The DoD Components shall ensure that their contractors and grantees have access to and utilize applicable DoD STI facilities including DTIC, relevant DoD IACs, and relevant specialized databases and information collections at various DoD activities consistent with security and other access restrictions.

13. By its very nature scientific and technical information and planning information exist in all media and forms and are represented in raw form such as data, laboratory notes and observations as well as more cohesive forms such as reports, articles, and presentations. Without intending to be all inclusive, the types of items listed below shall be provided to DoD repositories and secondary dissemination activities including DTIC, applicable DoD IACs, and local technical libraries. Those items to be provided include the following:

a. Acquisition systems planning documents such as weapons systems, components or subsystems, technology capabilities; etc.

b. Basic and advanced research planning documents.

c. Science and technology planning documents to support military mission needs and requirements.

d. Defense Technology Area Plans to support the investments in DoD technology.

e. Planning, Programming, and Budgeting System documents in support of DoD acquisition and related technology program focus areas including:

(1) Planning documents such as the National Military Strategy Document and the Defense Planning Guidance.

(2) Program documents such as the Chairman, JCS Program Assessment, programmatic issue books, and Program Decision Memoranda.

(3) Budget documents such as the Budget Estimate Submission, Program Budget Decisions, and Research and Development Descriptive Summaries.

f. Acquisition Systems and Programs Life Cycle Documents. These include but are not limited to:

(1) Mission Needs Statements.

(2) Operational Requirements Documents.

(3) Analyses of Alternatives (previously identified as Cost and Operational Effectiveness Analyses).

(4) Acquisition Program Baseline Documents.

(5) Annual Operational Test and Evaluation Reports.

(6) Contract management reports of a programmatic or evaluative nature.

(7) Cost, schedule, and performance program reports related to specific system or technology program objectives.

(8) Program deviation documents related to programmatic changes to purpose, scope, objective, performance requirements; etc.

(9) Test and evaluation reports.

(10) Live fire test and evaluation reports.

g. External management and policy information such as Presidential Decision Directives, Executive Orders, OMB Bulletins, Congressional and GAO reports and testimony, and science advisory board and similar advisory group reports when related to DoD acquisition and related technology programs.

14. Studies and analyses documents cover a wide range of typical areas and support all aspects of the DoD mission. While many studies and analyses contain STI, many others do not. In order for the DoD repositories such as DTIC, the DoD IACs, and local technical libraries to support the DoD, it is intended that studies and analyses documents be provided to the repositories for retention for secondary dissemination in a manner consistent with the approval and release constraints of such documents. The following types of studies and analyses are examples of the types of documents to be provided to the DoD repositories:

a. Strategic operations, concepts, military strategies, force structure alternatives.

b. Technology assessments, insertion, and deployment.

c. Operations research and analysis in support of operations and operational capabilities.

d. Evaluation of studies and analysis tools.

e. Test and evaluation studies.

f. Analyses of alternatives in support of operational and technology program management.

g. Training studies and analyses.

h. Defense functional area studies and analyses for functions such as logistics, manpower and personnel, readiness; etc.

DOD INFORMATION ANALYSIS CENTERS (IACs)

A. PURPOSE

The Department of Defense establishes IACs to acquire, digest, analyze, evaluate, synthesize, store, publish and disseminate worldwide STI and engineering data in a clearly defined specialized field or subject area of significant DoD interest or concern. Additionally IACs provide advisory and other user services to their authorized user community.

B. SCOPE

1. DoD IACs are an integral part of the DoD STIP. IACs are distinguished from technical information centers or libraries whose functions are concerned with providing reference to or access to technical documents themselves or technical information databases rather than utilizing a technically expert staff to assess and provide relevant technical information to meet a specific user need. Although an IAC normally maintains document or database collections, a significant differentiating aspect of an IAC is the utilization of scientists and engineers in an IAC defined field or subject area in the performance of many of the functions of a DoD IAC.

2. IACs are established primarily to support the Department of Defense, but may also support others in the public and private sector consistent with security and other constraints normally applicable to the Department of Defense and its contractors.

C. FUNCTIONS

1. Basic or Core Activities

a. Focus. IACs are staffed by scientists, engineers, and information specialists who provide users with focused expert assistance and unbiased scientific and technical information. They establish and maintain comprehensive knowledge databases that include technical, scientific, and other data and information collected on a worldwide basis in their field of interest. They identify sources and assess the relevance of data held by others. IACs coordinate closely with their sponsoring DoD technical communities and the DoD-user community in general as a means to focus their efforts on Defense community needs. IACs also collect, maintain and develop analytical tools and techniques including databases, models, and simulations.

b. Representative Types of Activities. IACs are staffed with subject experts to provide in-depth analysis services and create specialized technical information products. IAC products and services include, but are not limited to, abstracts and indexes; technical and bibliographic inquiry services; technical assessments; support and promotion of exchanges of information among scientists, engineers, and practitioners of disciplines in the scope of the IAC or their field of interest; preparation of state-of-the-art reports; handbooks; data books; data sets; critical reviews; standards and technology benchmarks; problem definitions; alternative technology analyses; and current awareness activities.

2. Additional or Special Activities or Tasks. DoD IACs are established with the explicit intent to perform additional tasks within their areas of expertise and technical focus above and beyond the basic or core activities as described in paragraph C.1., above. The establishment of core information and specialized expertise in their defined area of interest is in part established to respond to the needs of the Defense technical community. That permits an effective and efficient method of leveraging the technology base. Those additional tasks or special activities are efforts that are specifically defined by a requiring organization as the need arises and are consistent with the area of competence and concern that defines the technical focus of a particular IAC. The requiring activity normally provides the funds necessary to perform the task unless waived by the sponsoring DoD Component activity.

D. RESPONSIBILITIES

1. The DDR&E Shall Do the Following:

a. Maintain management control and oversight of the IAC program consistent with the policies and concepts of the DoD STIP, as defined in DoD Directive 3200.12 (reference (a)).

b. Approve or disapprove all proposals by the Headquarters of the DoD Components to establish or disestablish an IAC or make major changes in an IAC’s scope or subject area.

c. Designate the “Sponsoring DoD Component” for each IAC.

d. Designate a DoD activity or organization to provide a technology specialist to act as the “Technical Monitor” for each IAC.

2. The ODDR&E Staff That Exercises Oversight of the STIP Shall Do the Following:

a. Monitor the IAC program including periodic review of the performance of each IAC in meeting the defined goals and objectives in their prescribed area of interest.

b. Provide program guidance, as necessary, to meet the intent of the program and promote the technology objectives of the Department of Defense.

c. Appoint an ad hoc review board on a periodic, as needed, basis to review each IAC.

3. The Sponsoring DoD Component Shall Do the Following:

a. Provide continuous administrative and operational management for each assigned IAC. Designated “in-house DoD IACs” are assigned to the proposing Military Service or Defense Agency, as approved by the DDR&E. Contractor-operated IACs are assigned to an appropriate sponsoring DoD organization.

b. Budget for the basic operations and core functions of assigned IACs.

c. Prepare and defend programs and budgets consistent with annual budget cycles and DDR&E requirements for each assigned IAC.

d. Establish approved IAC's through acquisition of contract services or direct in-house establishment.

e. Review performance of the IACs, in coordination with the technical monitor and the ODDR&E staff exercising staff oversight of the IAC program.

4. The Technical Monitor Shall Do the Following:

a. Provide continuous technical direction and oversight for the assigned IAC.

b. Assess technical subject requirements and adequacy of literature and database coverage by the IAC for users in the Defense community.

c. Evaluate and approve IAC proposals for products and services from the technical standpoint.

d. Be a Government employee and not a member of the IAC contractor staff. Synonymous titles are “Technical Manager,” “Government Project Engineer,” “Contracting Officer's Technical Representative (COTR),” or other such titles that demonstrate

technical oversight of IAC activities. For contractor operated IACs, the technical monitor shall approve the designation of the COTR, if the technical monitor does not function in that capacity.

e. Provide the technical requirements input for the "Statement of Work" for contractor-operated IACs.

f. Assist the sponsoring DoD Components in identifying program requirements necessary to support preparation of budget and program documents for assigned IACs.

g. Ensure that all technical documents and data produced by the DoD contractor operated IACs are properly marked in accordance with DoD Directives 5230.9, 5230.24, and DoD 5200.1-R (references (j), (k), and (i)). For "basic or core" activities of the IAC, as described in paragraph C.1.a., above, the COTR shall be identified as the controlling DoD office. For "additional or special" activities of the IAC, as described in subsection C.2, above, the requiring DoD activity shall be the controlling DoD office.

5. The DoD Components Shall Do the Following:

a. Provide their technical requirements to the technical monitor, to assist in determining the scope, focus, and conduct of an IACs' technical activities.

b. Fully fund any additional IAC products and services beyond basic or core-funded activities unless otherwise authorized by the sponsoring DoD Component.

c. Utilize the DoD IACs when they may best meet the Component's technical requirements.

d. Ensure that the DoD IACs routinely receive technical reports and data sets about the IACs subject area of interest as part of the Component's primary distribution of technical information.

e. Invite the participation of DoD IACs in DoD sponsored technical symposia in the IACs subject area of interest.

E. IMPLEMENTATION OF POLICY, PRINCIPLES, AND CONCEPTS

1. Information analysis and evaluation activities are an essential and integral part of the scientific research and engineering processes conducted by or for the Department of Defense. When significant requirements are recognized or benefits can be derived through institutionalizing such efforts, the Department

of Defense shall establish a DoD information analysis center in a clearly defined, specialized field or subject area of particular interest or concern to the Department of Defense. IACs are formally established by the Department of Defense to acquire, digest, analyze, evaluate, synthesize, store, publish, and provide advisory and other user services concerning available world-wide scientific and technical information and engineering data in its defined field or area of interest.

2. DoD IAC's shall be established primarily to support the mission of the Department of Defense. That includes in-house activities as well as contractors and others who provide direct and indirect support to the Department of Defense. DoD IACs may also serve others in the public and private sector to the extent practicable and consistent with the constraints of DoD 5200.1-R and DoD 5220.22-R (references (i) and (v)). DoD policy on export-controlled technical data included in DoD Directive 5230.25 (reference (q)), and other restrictions on DoD information as applicable shall be incorporated into the handling of data by the IACs.

3. Each DoD IAC shall have a technical program Charter. The contents of the Charter are described in paragraph F.3., below, as part of the criteria for establishing a DoD IAC but the criteria are equally relevant to those IACs already in existence.

4. Classified or special category material may be received by an IAC provided that the information supports the mission of the IAC and appropriate security measures have been established. Additionally, IACs shall not receive, process, or disseminate scientific or technical intelligence unless specifically authorized by appropriate DoD intelligence activities and the DoD technical monitor. That is not intended to preclude IAC access to such information or to scientific or technical information developed or derived from intelligence data, but merely to prescribe that appropriate coordination and approval incidental to conduct of IAC activities shall occur.

5. Each IAC shall maintain a core staff of technical experts in its field of specialization. The IAC shall be attached to or have a working relationship with a private sector or DoD organization engaged in technical work in its mission area and are encouraged to seek assistance from qualified experts employed by that organization (and others, as needed) to ensure the highest technical quality for individual products and services.

6. Each IAC shall be shall be administered by a "single-sponsoring DoD Component" designated by the DDR&E.

7. Classified information shall be receipted, controlled, published, released or distributed, disposed of, and protected from unauthorized disclosure, in accordance with DoD 5200.1-R and DoD 5220.22-R (references (i) and (v)). Documents containing classified information shall be issued in accordance with DoD release and security procedures in references (i) and (v), after they have been reviewed and approved by responsible technical and security authorities. Information and products should be cleared for public release, in accordance with DoD Directive 5230.9 (reference (j)), if they are released to or accessible by the general public and when applicable information and products having potential foreign affairs implications shall be cleared in accordance with DoD Directive 2002.3 (reference (w)). Disclosure to foreign governments and international organizations, their contractors or representatives and other foreign persons shall be in compliance with DoD Directive 5230.11 (reference (x)).

8. All technical documents generated by DoD-funded R&E efforts shall be marked with a DoD Distribution Statement, in accordance with DoD Directive 5230.24 (reference (k)), with an export warning notice when appropriate, as described in reference (k) and as required by DoD Directive 5230.25 (reference (q)) and with applicable classification markings, as required by DoD 5200.1-R (reference (i)). For contractor operated IACs applicable markings of data shall be done by the contractor as directed by COTR or another DoD employee, as designated by the COTR.

9. DoD IACs shall establish mechanisms for cooperation and cross-fertilization of ideas on management philosophy, policy, promotion or outreach, operating procedures, and other areas of mutual interest. Periodic meetings of all DoD IAC managers, technical monitors, and sponsors shall be held for information exchange in those areas.

10. Basic IAC operations, as defined by the sponsoring DoD Component, shall be primarily supported by DoD funds.

11. Each IAC shall assist in advancing standardization of the technology in their technical focus and field of expertise.

12. IACs shall make optimal use of advanced information technology and telecommunication equipment, systems, and capabilities in the operation of their centers.

13. IACs shall acquire, store, and disseminate subject area technical information from all sources, domestic and foreign, including support of approved information exchange programs with countries that have agreements with the United States. IACs shall utilize but not duplicate the existing DoD foreign open-

source scientific and technical intelligence literature exploitation program or automated database as part of any foreign acquisition efforts. It is not intended for DoD IAC's to replicate substantial quantities of information from other readily available sources. At the same time, IAC's are encouraged to acquire information from those sources when the information is needed to provide timely, comprehensive, and qualitative products and services.

14. While one purpose of the IACs is to collect and disseminate STI, their performance of analytical tasks characterizes them as "R&D activities" as well as "technical information support activities." As a routine function of the analytical aspects of their information collection functions, IACs are expected to do the following:

a. Verify and validate the technical accuracy and reliability of existing data.

b. Generate and evaluate data collection and analysis techniques reported in the literature.

c. Develop alternative approaches to collection and/or analysis of the same or similar forms of information for assigned technical areas.

d. Identify and/or fill voids in existing data or knowledge bases when the IAC may provide such R&D in an economical, efficient, and unbiased manner.

Those functions in paragraphs E.14.a. through E.14.d., above, are accomplished on a selective basis to permit the most effective use of technology and expertise resident in the IACs, and are the types of functions that distinguish a DoD IAC from libraries and other types of information centers.

15. As defined in subsection C.2., above, it is the intent of the Department of Defense to have its IACs perform additional or special activities or tasks in their individually defined technical scopes. One of the primary purposes of acquiring and maintaining core technical information and expertise is to maximize the utilization of those invested efforts. The accomplishment of additional tasks based on those core capabilities permits the Department of Defense to effectively and efficiently leverage the technology base in its areas of interest. For those IACs operated by contract, it is the responsibility of the sponsoring DoD Component activity to accomplish the contracting of both the core activities and additional tasks consistent with the technical scope of each IAC.

16. If applicable, IACs shall participate in programs designed for the international transfer of technology in assigned areas of technical responsibility. Equally, they shall ensure that such participation does not lead inadvertently to unauthorized transfer of technology.

17. DoD IAC's shall participate in and support the Department of Defense domestic technology transfer program, as defined in DoD 3200.12-R-4 (reference (f)).

18. IAC personnel are authorized and encouraged to plan, provide technical support for, and participate in major technical conferences, meetings, or symposia in their area of technical specialization. IAC sponsorship and attendance at meetings shall be consistent with DoD provisions on security and on transfer of technology. DoD activities are also encouraged to participate and sponsor conferences in their technical areas of interest. IAC contractors and DoD activities that sponsor or participate in conferences shall do so in a manner consistent with DoD Directives 5230.9, 5230.24, 5230.25, 2000.3, DoD Instruction 5230.27, and DoD 5200.1-R (references (j), (k), (q), (w), (h), and (i)). When DoD IACs sponsor a conference, meeting, or symposia, an in-house DoD activity is not required to sponsor it as well. IAC personnel shall maintain contact with senior investigators and develop working relationships with technical, professional, and trade associations and related technical groups to exchange information. Meetings and conferences are to be used as an opportunity for making known the products and services of the IAC, maintaining contact with senior investigators in the specialized field of the IAC and to promote the interaction of IAC professional staff with the technical community at large.

19. IACs shall prepare, announce, and provide primary distribution of critical reviews, state-of-the-art reports, handbooks, data compilations, lists of technical experts, and other significant publications in their assigned areas of technical specialization. IACs shall respond to inquiries from qualified users bearing in mind applicable security controls and restrictions on transfer of technology to foreign individuals and organizations.

20. The DTIC, technical library of the DoD activity that sponsored a particular technical effort, and other DoD IACs with a technical interest in the subject matter of a particular document shall be included in the primary distribution of documents formally issued by an IAC. That excludes direct correspondence in response to inquiries and the annual reports of the IACs unless the sponsoring DoD Component requires the reports for management oversight of IACs it sponsors.

21. IACs shall normally not provide secondary distribution of any documents other than their own. In accordance with criteria or guidance provided by the sponsoring DoD Component, IACs may perform secondary distribution of documents or data in forms or media not available from other sources and IACs may perform secondary dissemination of documents and data when they are the only known remaining source.

22. DoD IACs normally recover a portion of operating costs through the sale of products and services. As such, it is not intended for the DTIC to provide distribution services to their users of DoD IAC products and services. DTIC shall provide microfiche copies of IAC technical reports. On a mutually agreeable basis DTIC may provide other distribution services to the IACs such as CD ROM or network services including the sharing of cost and revenues.

23. Selected products and services provided by IACs shall include provisions for at least partial cost recovery in accordance with guidelines provided by the sponsoring DoD Component. The principle is to promote wide dissemination and use by the Defense community while discouraging the excessive ordering of products or services without recognition of the cost impact on DoD resources.

F. ESTABLISHMENT OF IACs

1. Proposals from the DoD Components for establishment of an IAC shall be processed through the same channels that are used to approve and authorize any other RDT&E program.

2. Approval shall be based on, but not limited to, the following criteria:

a. Documented evidence of a requirement to fill a void in an emerging DoD technology thrust area.

b. Clear definition of subject fields to be covered and demonstration that other IACs or other sources do not duplicate or provide the same depth of coverage of the proposed IAC.

c. Cost and effectiveness including evaluation of whether alternate ways of accomplishing the objectives of the IAC exist.

d. Adequate financial support and plans for continuing support to achieve the announced objectives of the IAC.

e. Active support of the IAC by persons engaged in the type of technical work to be covered by the IAC's information products and services.

f. Evidence of capability to ensure proper security procedures and controls on technology transfer.

3. As part of the process in defining the need, purpose, and scope of a DoD IAC, each IAC shall have a technical program Charter including the following:

a. Mission and functions statement.

b. Statement of need on DoD requirements.

c. Statement of technical scope.

d. Method of funding.

e. Description of responsibilities for those DoD administrative, procurement, and technical personnel that guide the direction and operation of the IAC.

f. Authority to establish and operate the IAC.

g. Provisions for periodic review and revision.

4. Each Charter is to be approved by the OSD Principal Staff Assistant responsible for technical program oversight of the IAC.

5. Subject Coverage. Subject areas covered by an IAC may be determined from one or both of the following categories:

a. Discipline-Oriented Coverage. Information pertaining to all, or a clearly defined part of, a recognized scientific or engineering discipline, which has its own literature or professional traditions and is of particular interest to the Department of Defense.

b. Mission-Oriented Coverage. Information pertaining to a military undertaking of special interest to the Department of Defense or to a specific large weapon or its support system or a group of such systems, and therefore, an area that requires an interdisciplinary approach.

6. Size and Location

a. No specific limitations are imposed on the size of an IAC as long as the types of functions described in section C., above, are accomplished.

b. IACs may be located at the following:

(1) DoD installations, laboratories, and other in-house technical activities; or,

(2) Other Federal Government activities when a DoD Component sponsors the IAC in conjunction with an applicable authority in an Agency Headquarters for the other Government activity.

(3) Contractor installations (educational institutions, industrial firms, and not-for-profit institutions).

7. Security. IACs shall satisfy all physical and document information security requirements for the protection of classified or otherwise sensitive information stored or held therein. For in-house operated DoD IACs, the IAC shall adhere to all applicable policies and practices. For contractor operated IACs all security requirements shall be clearly specified by DoD in the contract.

G. DISESTABLISHMENT OF IACS

1. The sponsoring DoD Component, in coordination with the designated "technical monitor" and the principal DoD-user activities, may propose the disestablishment of a DoD IAC. A proposal to disestablish an IAC should include an analysis that would permit DDR&E to evaluate or consider the types of questions or factors described in subsection G.2., below.

2. A combination of factors may form the basis for a decision to recommend disestablishment of an IAC. Following a complete review, the DDR&E (with the assistance of the OSD Principal Staff Assistant for IAC technical areas beyond the purview of the DDR&E) shall make the decision on disestablishment of an IAC. The following are typical questions or factors that may be considered in making such a decision:

a. Is the IAC still functioning in a major DoD technology thrust area?

b. Is the IAC demonstrably useful to the Department of Defense?

c. Is the IAC fulfilling a DoD need that is not duplicated by other public, private, or Government organizations?

d. What is the value of products or services to users for current DoD programs?

e. Are funds available?

f. Is the IAC maintaining proper security controls and controls over transfer of technology to foreign individuals and organizations?

3. After the DDR&E has decided to disestablish an IAC, the following shall be accomplished:

a. The sponsoring DoD Component shall announce a termination date at least 90 days in advance and shall require the managing supervisor of the IAC to provide a documented inventory of the IAC's holdings to the sponsoring DoD Component and DoD technical monitor.

b. The sponsoring DoD Component shall decide the disposition of the IAC's holdings with the assistance of the managing supervisor of the IAC, the DoD technical monitor and the approval of the ODDR&E.

c. The technical holdings of a DoD IAC including its documents, databases, and technical information represent a significant resource investment by the Department of Defense. The disposition of those tangible assets must be handled in a logical and cost-effective manner. As a result every reasonable effort should be made to retain those holdings for future use in the Department of Defense and if not possible, their disposition should be handled, in accordance with the parameters of the DoD property disposal and records management programs. One of the principle functions of DoD technical libraries is to retain the current and future technical assets of the DoD. Transferring the IAC holdings to another DoD IAC or a DoD technical library shall be a primary consideration in the disposition of IAC technical holdings. Care should be taken to ensure that data restricted to DoD use for reasons such as national security, export control; etc., is retained by the Department of Defense before transfer of remaining holdings to others outside the Government or that applicable controls by the Department of Defense remain in effect.

ACCESS TO AND DISSEMINATION OF DoD TECHNICAL INFORMATION

A. PURPOSE

The DoD Technical Information Program shall ensure the complete and timely exchange among DoD technical activities, including both the in-house and DoD contractor communities, of all technical information generated by or about the pursuit of DoD technical programs with due consideration of security requirements and access restrictions. All DoD Components responsible for dissemination of technical information shall make a positive effort to provide users accurate and timely technical information, utilizing the most effective media, including symposia, news-letters, technical reports, inquiry responses, on-line data networks, consultation and other media, and making optimum use of computer technology to store, sort, select, package, and disseminate data and information.

B. APPLICABILITY AND SCOPE

1. The implementation of policies, principles, and practices established by this section apply to the DoD Components consistent with the constraints established by DoD Directives 5230.9, 5230.24, 5230.25, 2002.3, and 5230.11, DoD 5200.1-R, and DoD 5220.22-R (references (j), (k), (q), (w), (x), (i), and (v). That not only includes dissemination of DoD technical information internally to the Department of Defense but also applies to other Federal Government Agencies including legislative and judicial branch agencies, all Government contractors, grantees; etc., other Governments (local, State, or foreign), and any others for which a DoD Component activity has an approved and established “legitimate business relationship” interest. The term “legitimate business relationship” is defined in enclosure 2.

2. The procedures authorized by this enclosure shall be used by DoD technical information dissemination activities to control access to DoD technical information. The access afforded through use of those procedures does not override special consideration or approvals that affect the flow of controlled information, but shall provide routine access consistent with any such controls.

C. RESPONSIBILITIES

1. The ODDR&E shall approve service charges collected by DoD technical information dissemination activities in a manner consistent with section D., below.

2. The DoD Components shall do the following:

a. Pursue organized, coordinated, and comprehensive programs for technical information dissemination. Those programs shall provide for the routine interchange of technical information in the Department of Defense, between the Department of Defense and others in the scientific and technical community including other Federal Agencies, DoD contractors, other Federal Agency contractors, foreign governments as applicable, and the national and international scientific and technical community consistent with DoD Directives 5230.9, 5230.24, 5230.25, 2002.3, 5230.11, DoD 5200.1-R, and DoD 5220.22-R (references (j), (k), (q), (w), (x), (i), and (v)).

b. Under the limits of security and access restrictions necessary to ensure adequate intra-DoD technical information exchange, vigorously pursue a policy that ensures that technical information generated by activities under their cognizance is provided for public use through applicable Federal Agencies and technology transfer programs according to approved DoD clearance procedures.

c. Support the wide dissemination of technical information as part of the primary distribution of such matter, and support and sustain DoD technical information dissemination activities including the DTIC, DoD IACs, and DoD technical libraries.

d. Wherever possible, provide unclassified versions of technical documents and other information to expedite the information transfer process.

e. In-house DoD activities shall complete all parts of the “Registration for Scientific and Technical Information Services,” DD Form 1540, and submit it to DTIC before requesting technical information from DoD dissemination activities. When classified information is requested on the DD Form 1540, that form shall be signed by the applicable security officer for that activity.

f. Ensure that DoD activities under their cognizance certify access to DoD technical information for all non-DoD users based on the determination by the DoD activity that the user has a legitimate business interest with the Department of Defense, as defined in enclosure 2. DoD personnel who certify access for non-DoD users shall have the technical competence and familiarity with the user’s needs and intended use for the information to determine that it is in the best interest of DoD to provide access. Particular attention shall be focused on the subject fields of interest for access to classified information. Promptly report to DTIC any changes of certification status such

as contract termination, revisions to contracts and grants concerning levels of access or completion dates, and changes of address or organization names.

g. Routinely provide for the dissemination of DoD technical information for domestic technology transfer.

h. Identify and provide information to DTIC describing R&E and other acquisition related publications, databases, specialized collections, products, services, and accessibility about DoD scientific and technical information assets of DoD activities whether in house or contractor supported. This information reporting requirement supports the DTIC developed directory of STI resources and has been assigned Reports Control Symbol DD-A&T(AR)1922.

i. Establish and support industry information centers for ready access to unrestricted and restricted DoD technical information, program planning information, and requirements documents. Those centers shall also assist DoD contractors and potential contractors in accessing DoD RDT&E activities and staff.

3. The DTIC Shall Do the Following:

a. Operate and maintain a uniform, DoD-wide certification and registration system. Applicable procedures, forms, and instructions shall be prepared and coordinated by DTIC, as a Volume of DoD .

b. Maintain a central authority file of certified and approved users. Provide methods of access and dissemination to that file such that other DoD dissemination activities may provide information to registered users applicable to their authority to receive data. Also, quickly inform DoD activities of the new registrations and changes to the timeframe, conditions, and scope of coverage.

c. Establish a DoD Directory of STI resources as described in paragraph C.2.h., above.

4. DoD Technical Information Dissemination Activities may collect service charges as approved by ODDR&E in accordance with the policies and principles of this enclosure.

D. IMPLEMENTATION OF POLICY AND PRINCIPLES OF OPERATION

1. Registration for Defense Technical Information

a. The DD Form 1540 is authorized for the collection of data required by the uniform DoD registration system established by DTIC for access and dissemination purposes.

b. Classified information dissemination from a DoD dissemination activity shall be limited to the scope of a subject area field of interest as specified and certified on the DD Form 1540 unless otherwise authorized by the DoD classification authority. Such a certification shall constitute an approval by an applicable DoD official that the user's official responsibilities require access to technical information within the specified subject fields and groups on the DD Form 1540. An applicable DoD official shall certify the access of non-DoD users to DoD technical information based on the DoD official's determination that the non-DoD user has a legitimate business relationship with the Department of Defense as defined enclosure 2. Approval for access to classified or unclassified, but sensitive, technical information shall be conditioned on the fact that the user understands the conditions of use and may reasonably control access to the information by others, as necessary.

c. DoD activities that have approved DD Form 1540s shall take action to notify DTIC when the classified or otherwise sensitive and/or controlled information is accessed and used in a significantly inappropriate manner. Access or termination of access to DoD technical information is solely under DoD authority, as determined to meet DoD needs. That relates to the intent of the Department of Defense to disseminate technical information to the Defense community to support the DoD mission and in no manner shall be construed to limit public access and availability of DoD information approved for public release in accordance with DoD Directive 5230.9 or for information released by the Department of Defense in accordance with DoD Directive 5400.7 (references (j) and (n)).

2. Dissemination of Defense Technical Information

a. The Department of Defense shall disseminate DoD technical information in support of its technical programs and in support of similar technical programs in other U.S. Government Agencies consistent with the DoD mission contained in DoD Directive 5230.11 (reference (x)).

b. Requests from foreign organizations for classified or otherwise sensitive and/or controlled information shall be made only through applicable DoD foreign release offices under established release procedures.

c. It is intended that registration for access to DoD technical information shall be available to both individuals and

groups of people in an organization. If a registration is completed for a group of people, then the individual identified on the DD Form 1540 shall be authorized to receive all data (including classified or unclassified but, sensitive data) consistent with the registration. That individual is responsible for providing data to others in the organization consistent with the "DoD Distribution Statement," classification markings, and export control warning notices. That means, for example, if an in-house DoD activity requests information from a DoD dissemination activity that is marked with "DoD Distribution Statement D (Distribution Authorized to DoD and U.S. DoD Contractors)," then the requesting activity may share that information with a DoD contractor including those working in that activity or elsewhere. Dissemination to others shall only be, as approved by the "Controlling DoD Office" as specified in DoD Directive 5230.24 (reference (k)). DoD activities that operate DoD technical information networks may further limit access based on network capacity constraints, but access shall be consistent with other DoD information dissemination policies. Access to internal networks shall be consistent with DoD marking policies including DoD Directive 5230.24, DoD Directive 5230.25, DoD 5200.1-R, and DoD 5220.22-R (references (k), (q), (i), and (v)).

3. Principles and Considerations for User Charges by DoD Technical Information Dissemination Activities

a. Objectives and Implementation of Policy

(1) The DoD Acquisition Program is implemented through an extensive set of processes and procedures. The phases of the acquisition process include the following:

(a) Concept exploration and development.

(b) Program definition and risk reduction.

(c) Engineering and manufacturing development.

(d) Production, fielding and/or deployment, and operational support.

(STI is an integral part of every phase of the acquisition process. In its many forms (including technical papers, experimentation data in raw and analyzed form, engineering drawings, handbooks, manuals, and acquisition-related management data; etc.) STI sustains the accomplishment of the Department of Defense acquisition mission. With the significant investment in DoD acquisition, it is incumbent on the Department of Defense to promote the widest possible primary and secondary dissemination of STI to organizations that contribute to DoD mis-

sion objectives. In the case of secondary distribution, technical information dissemination activities enable the Department of Defense to recoup a portion of its technology investment by enabling DoD to leverage past technology investments. Additionally, technology developed in the concept exploration and development phase of acquisition becomes the technology baseline for numerous technology applications in the follow-on acquisition phases identified in paragraphs D.3.a.(1)(b) through (d), above.)

(2) An objective of the DoD STI program is to promote the efficient, effective, and timely dissemination of STI. To accomplish that objective, it is anticipated that DoD information dissemination activities may determine that it is necessary to impose a system of charges to preclude the potential of excessive requests for STI by DoD users. At the same time, such a system of charges shall be so constructed as to meet DoD acquisition objectives stated in subparagraph D.3.a.(1)(a), above, to leverage past technology investments and maximize their return to the Department of Defense. A proper balance between direct charges to users and indirect allocations of net additional costs to acquisition program elements must be determined and applied accordingly.

(3) Additionally, some technical information products and services are required to meet externally imposed requirements placed on the Department of Defense including Federal statutes, and/or Executive Orders. Those external requirements, while not self-imposed, are essential objectives.

(4) DoD technical information dissemination activities may establish service charges for information products and services. Such service charges shall be developed when there is a need to provide a means of PARTIAL reimbursement for products and services and, when necessary, to preclude excessive, unwarranted use of those products and services. At the same time, the overriding intent of the Department of Defense is to widely disseminate its technical information to leverage the utilization of DoD-funded technology to the maximum extent. Service charges shall not be established at a level detrimental to the ability of the Department of Defense to leverage its technology base. DoD activities shall adequately budget and fund their technical information dissemination activities consistent with those principles.

b. Principles

Before making a determination to impose user charges a number of factors must be considered. The following points all require analysis and rationale to support a system of user charges:

(1) Who are the users of the information?

(2) Who are the customers that have a vested interest in seeing that the information is available and used?

(There is often an important distinction between a customer and user. For example, the Department of Defense requires contractors to use technical information in performance of a contract. While the technical information is often obtained from a DoD technical information dissemination activity, the customer (the DoD sponsor of the contract effort) has obligated the Department of Defense to provide Government-furnished information to the user (the DoD contractor) for the performance of work. Another example is an in-house DoD activity that is required to search existing technical and related management information before the start of a new technical effort or before proceeding to the next milestone on a major program. The user in that instance is the activity that receives the information and evaluates its applicability to a new effort or the next major milestone. There are several customer(s) in that example. The organization proposing to expend DoD acquisition resources needs the information to define the technology baseline and develop the rationale for investing in new or continuing technology development. The organization(s) responsible to review and approve the expenditure of resources and to ascertain that the technical effort meets DoD acquisition requirements is also dependent on the information output. Retention of the data for program audit purposes reflects a third customer need.)

(3) What is the most efficient method to resource an information product or service? And why?

(4) Does a method of cost recovery exist and how does it operate?

(5) Is a particular product or service mature enough to where the customers and users are clearly defined and use of the product and service can be supported by an established customer base? Development of new products and services is an investment decision and should be resourced accordingly.

c. Practices

Periodically, DoD technical information dissemination activities should identify the cost associated with providing their products and services. Using that cost assessment, the DoD Components responsible for the operation and funding of DoD technical information dissemination activities should utilize the objectives and principles stated in paragraphs D.3.a. and b. above,

as the basis to determine the best method(s) to resource the products and services of those activities. Those methods include the following:

(1) Direct mission funding of that information dissemination activity.

(2) Block funding by customers and/or users.

(3) Subscription funding for levels or combinations of products and services.

(4) Charge on demand to customers or users with payment from aggregate accounts or on a transaction basis.

(5) Charges against other acquisition program accounts as a support cost to those program elements.

(6) Combinations of the practices in paragraphs D.3.c.(1) through (5), above, such as individual demand prices for users adequate to discourage misuse with the remainder to be allocated in another manner.

DTIC

A. MISSION

Consistent with OUSD(A&T) policy guidance and program oversight, DTIC shall do the following:

1. Provide centralized operation of DoD services for the acquisition, storage, retrieval, and dissemination of STI to support DoD R&D, engineering, and studies programs.

2. Provide centralized operation of databases, systems, or networks for the acquisition, storage, retrieval, and/or dissemination of information to support other DoD related acquisition functions as approved by the DDR&E. Provide other DoD information support services as directed or approved by the DDR&E.

3. Serve as a focus for specific actions required by the DDR&E to meet technical information needs of the STIP.

4. Develop and provide specialized information system support approved or directed by OUSD(A&T) Principal Staff Assistants.

5. Work directly with the OUSD(A&T) to formulate objectives and programs for STI transfer among the Military Departments, Defense Agencies, and other U.S. Government Agencies.

6. Participate with the OSD and Federal Agencies in formulating DoD and Federal policies on STI transfer.

7. Function as a central activity in the Department of Defense for applying advanced techniques and technology to DoD STI systems and for developing improvements in services and STI transfer effectiveness in support of STIP objectives.

8. Represent the Department of Defense at STI meetings, conferences, or symposia to support mission objectives.

9. Provide liaison with other DoD and Government STI organizations (such as the Defense Logistics and Studies Information Exchange and the National Aeronautics and Space Administration).

10. Provide planning, programing, budgeting, accounting, and reporting of resources necessary to meet mission requirements and present PPBS submissions to the OUSD(C) Comptroller through the OUSD(A&T) Principal Staff Assistant exercising staff oversight of DTIC.

B. FUNCTIONS

The Administrator, DTIC, is responsible for providing or executing the following functions in support of the STIP.

1. Centralized DoD Information Services. Those include all services for maintaining a repository of technical and related management documents resulting from or pertinent to DoD R&E and studies efforts, providing for their dissemination, and the following functions:

a. Acquiring technical and related management documents including documents from outside the Department of Defense, domestic or foreign, which are of DoD interest but not readily available from other sources in support of the DoD R&E and studies efforts. Documents may take the form and format of any commonly accepted media for documentation and/or presentation of STI.

b. Providing prompt and effective document awareness services and publications reflecting new acquisition in the document collection.

c. Storing in reproducible form copies of acquired DoD-relevant technical and related management documents.

d. Maintaining a system of document acquisition, storage, announcement, reproduction, and distribution methods, in accordance with DoD security policies, standards, criteria, and procedures for classified, limited distribution, export control and company proprietary information entrusted to the Department of Defense by agreement.

e. Developing and maintaining a timely system of document acquisition, storage, reproduction and dissemination that promotes the maximum efficiency for activities providing documents to and receiving data and/or documents from DTIC such that the DoD-user community may make the most effective and efficient use of the technology in those documents.

f. Providing timely response to requests from authorized users for technical reports and other document services consistent with DoD Directives 5230.24 and 5230.25, DoD 5200.1-R, and DoD 5220.22-R (references (k), (q), (i), and (v)) of this enclosure 7. Release of documents in response to requests under the “Freedom of Information Act” (5 U.S.C.552) shall be governed by DoD Directive 5400.7 (references (m) and (n)). DTIC shall not release any document not previously cleared for public release without the written approval of the controlling DoD activity, as

defined by DoD Directive 5230.24 (reference (k)). Requests from foreign persons for classified reports or services shall be processed in compliance with DoD Directive 5230.11 (reference (x)).

g. Ensuring the adequacy of and preparing necessary procedures, standards, and guidelines in applicable Volumes of DoD Scientific and Technical Information Program Procedures Manual for preparing, acquiring, storing, distributing, and gaining access to technical and/or management documents describing R&E efforts and the entry of bibliographic descriptions into DoD STI databases.

2. Centralized DoD Database Services

a. Those involve the application of information, computer, and telecommunications technology to provide authorized seekers of Defense STI convenient access to stored files of STI about managing and conducting R&E and studies programs. For such databases, the DTIC shall provide for the following:

(1) Database input systems and procedures to acquire and enter data into the databases, and provide technical support for remote input to the databases either on-line or in machine-readable form. Database input systems shall use existing DoD standard data elements when applicable.

(2) Database output systems and procedures to support the processes involved in formulating and executing on-line search and retrieval, formulating output of significant segments of the databases including search and retrieval tools and procedures utilizing applicable electronic media, and control of database output products.

(3) Response to demand requests received by mail, on-line, and telephone for database products (both individual products as well as downloading of significant segments of the databases) and processing of subscriptions for recurring database products.

b. The DTIC shall establish and operate a centralized database of bibliographic citations of technical documents resulting from or about the DoD R&E and studies programs. That includes support to DTIC document services functions, such as the following:

(1) Document announcement, current awareness, selective dissemination of information products, or bibliographic searches.

(2) Bibliographic database support to include such items as shared cataloging and related services to technical libraries, support to DoD IACs, and support to other information processors that operate or provide support to DoD R&E programs.

c. As resources and technology permit, DTIC shall establish and operate a centralized computer database of full-text technical documents resulting from and about the DoD R&E and studies programs. The database shall include, where possible, features to enable electronic input, text search, electronic output, file transfer capabilities; etc.

d. The DTIC shall maintain and operate centralized databases of summary technical and management-related information describing the content and scope of R&E programs, consistent with or as required by other parts of this Instruction, DoD Instruction 3204.1, and DoD Directives 4205.2, 2002.3, and 8910.1 (references (g), (r), (w), and (y)), and when and as further defined by applicable Volumes of DoD Scientific and Technical Information Program Procedures Manual and other data specified or approved by the DDR&E, when needed for R&E program management.

e. The DTIC shall provide for maintenance of a central referral database of the Department of Defense and relevant Federal STI activities and shall cooperate with the Federal Agencies in maintaining such referral services.

f. The DTIC shall establish and maintain an index of the unique collections of DoD technical holdings in the DoD technical libraries and the unique collections and database that reside at DoD R&E activities. Additionally, on a voluntary basis DTIC may accept similar information from Defense industry and academic institutions that have unique collections of significant interest to the Defense R&E community.

g. The DTIC shall provide the capability and capacity, as approved by the DDR&E to accommodate new or expanded STI databases and extended levels of database access, system interconnection, and the establishment of networks.

h. The DTIC shall ensure the adequacy of and prepare DoD Regulations and guidelines describing responsibilities and procedures for input to, maintenance of, access to, and retrieval from DoD STI databases.

i. The DTIC shall provide OSD functional managers with data and document services needed to support their programs in R&E and studies areas.

3. Related STI Support Services. The DTIC shall do the following:

a. Develop and apply techniques to assess STI needs, usage, and trends with a view to proposing new STI products, services or programs.

b. Develop and operate promotional and training programs to increase the awareness and use of STI policy, procedures, tools, products, and services among R&E managers, scientists, engineers, and that of the information practitioners that support them throughout the current and potential DTIC user community with a view increasing their efficiency.

c. Provide a central DoD authority and establish a central directory for the data elements and processes used to record, gain access to, and exchange STI or documents and prepare DoD procedures with specific criteria and guidance for the content and format of data elements required by those STI databases, and register data elements with the Defense Information Systems Agency. The DTIC shall exercise that authority in cooperation and coordination with the DoD Components and shall ensure compatibility where practical with the STI practices of other Federal Agencies.

d. Explore and acquire techniques and arrangements for access to STI databases, on-line services, or networks on the conduct or management of R&E programs. Those may include data, databases, or systems from other Federal, commercial, or foreign sources that may not otherwise be readily accessible to DTIC users, if the DTIC does not unnecessarily or unfairly compete with or detract from services available from the private sector.

e. Represent the Department of Defense in efforts of Federal and professional STI activities involving the compatibility or standardization of STI data and processes about improved information transfer.

f. As directed by the DDR&E, provide such centralized services as acquisition, evaluation, or implementation of common STI resources, systems, or devices and act as focal point in such endeavors as arranging or instituting new STI programs, procedures, or exchange agreements.

g. Operate and maintain procedures where U.S. Government Departments and Agencies and their contractors, subcontractors, grantees, and DoD potential contractors may become certified and registered for access to controlled STI available from DoD information dissemination activities, in accordance with

DoD 5200.1-R and DoD Directive 5230.25 (references (i) and (q)), and enclosure 6 of this Instruction.

h. As directed by DDR&E, act as the DoD Executive Agent for the preparation and publication of newsletters, journals (juried and unjuried), reports; etc., to support the dissemination of Defense related STI.

4. DoD Component Headquarters Information Support. The DTIC shall provide information services which utilize the appropriate information technologies to acquire, analyze and disseminate information to support oversight and management functions and to improve overall Department of Defense management. To accomplish these tasks, the DTIC shall provide support in the following areas:

a. Analyze and define information gathering, analysis and dissemination requirements as requested by DoD Component Headquarters.

b. Investigate and evaluate new technologies and apply them to the requirements to meet information gathering, analysis and dissemination requirements of supported organizations, including utilization of the Internet/World Wide Web or similar technologies.

c. Conduct liaison with DoD Component Headquarters to assure continued support for information gathering, analysis and dissemination.

d. Maintain the DoD implementation of the Government Information Locator Service (GILS) in accordance with Office of Management and Budget Number 95-01 (reference (z)).

5. Investigation, Experimentation, and Application of Advanced Information Science and Technology. The DTIC shall identify, develop, and carry out programs to perform and monitor experimentation and study for increasing its internal effectiveness and productivity and for ensuring that the overall STIP is served by innovative and effective information systems that take advantage of new advances in information science and technology. It shall perform studies and experimentation to improve the processes involved in acquiring, using, storing, retrieving, disseminating, and generating STI. In doing so, it shall seek effective ways to employ modern information storage, retrieval, and transmission technology and devices by acquiring and testing the application of existing and promising computer, telecommunications, storage, and transmission devices and concepts. DTIC shall coordinate its program with other DoD activities engaged in RDT&E involving information science, telecommunications, and

other enabling technologies that help the effective conduct of the DoD STIP.

6. DoD Technical Library Support. The DTIC shall provide a focus for developing and coordinating programs among, and providing centralized technical support to, DoD technical libraries. To help improve their effectiveness and capabilities, the DTIC shall provide assistance in the following areas:

a. Analyze and explore applications of automation to library operations and other services.

b. Promote cooperative efforts among libraries including the establishment of networks and resource sharing.

c. Facilitate the integration of technical libraries, IACs, the DTIC, and other components of the STIP in a coordinated STI network.

7. DoD IAC Support. The DTIC shall do the following:

a. Provide necessary support and services for improved coordination, planning, and integration of DoD-funded IACs. The DTIC shall establish and support a comprehensive program in the IAC function of the STIP to improve the visibility, effectiveness, and use of the IACs in support of DoD and Federal scientific and technical programs.

b. When functioning as the “DoD Component sponsor,” provide oversight through the contracting officer for designated “contractor-operated DoD IACs.”

c. Develop and provide systems and services to assist or supplement IAC operations or programs to effect and promote resource sharing, joint approaches to common objectives and prolems, and information exchange among the IACs, DTIC, and other components of the STIP.